



FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.:
36287-03801SERIAL NO.:
10/644,281

INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

APPLICANTS:
SPIELER, et al.FILING DATE:
August 20, 2003GROUP ART UNIT:
3624

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
/W.R./	6,338,047	1/08/02	Wallman			6/24/99
/W.R./	6,282,520	8/28/01	Schirripa			9/9/98
/W.R./	6,148,293	11/14/00	King			10/17/97
/W.R./	6,092,056	7/18/00	Tull, Jr., et al.			5/17/99
/W.R./	5,704,045	12/30/97	King, et al.			1/9/95
/W.R./	2002/0107771	8/8/02	McGuire			8/31/01
/W.R./	2002/0116325	8/22/02	Wise, et al.			3/26/01
/W.R./	2002/0156709	10/24/02	Andrus, et al.			10/29/01
/W.R./	2001/0011243	8/2/01	Dembo, et al.			3/20/01
/W.R./	2001/0018677	8/30/01	Hoffman			4/2/01

FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
/W.R./	WO 00/75819 A2	12/14/00	PCT				
/W.R./	JP2002140514A	05/17/02	Japan			✓	



OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Papers, Etc.)

/W.R./		Carter, Jeremy & Wadew, Taron, CDO Structures Get Creative To Entice Buyers, August 18, 2002
/W.R./		CDO Handbook, JPMorgan Securities, Inc., May 29, 2001
/W.R./		Cagan, Penny, Capital market solutions for op risks: Does a credit derivative model make sense?; Operational Risk, June 2001
/W.R./		Skora, Richard K.; The Credit Default Swap; www.skora.com , 1998.
/W.R./		Kothari, Vinod, Credit Derivatives, http://www.credit-deriv.com/creprime.html
/W.R./		Calls are puts and puts are calls, http://www.finpipe.com/puts.htm
/W.R./		Business School Credit Derivatives – Part II, Oct. 24, 2002, http://www.indiainfoline.com/bisc/crde.html
/W.R./		Credit Default Swaps 101; DerivativesStrategy.com, http://www.derivativesstrategy.com/magazine/archive/2000/0800col.asp
/W.R./		CDO Evaluator Applies Correlation and Monte Carlo Simulation to the Art of Determining Portfolio Quality, Standard & Poor's, Nov. 12, 2001, http://www.standardandpoors.com/emarketing/structuredfinance/copyof111201_evaluator.html
/W.R./		Skora, Richard K., Correlation – the hidden risk in Collateralized Debt Obligations, November 21, 1998, www.skora.com
/W.R./		Mayer, Brown, Rowe & Maw; Collateralized Debt Obligation Practice; March 2001, www.mayerbrownrowe.com/cdo
/W.R./		Van Wijk, Ed; The CDO Market: An Introduction, Feb. 21, 2001
/W.R./		Morgan, Deutsche both claim German Innovation in Credit; Risk.net
/W.R./		Kothari, Vinod; Evolution of Credit Derivatives, http://www.credit-deriv.com/evolution.htm
/W.R./		Kothari, Vinod; Securitization of Banking Assets, CBOs, CLOs and CDOs, August 9, 2001, http://www.vinodkothari.com/bankloan.htm
/W.R./		Kothari, Vinod; Links and materials on synthetic CDOs, http://www.credit-deriv.com/syntheticCDO.htm
/W.R./		Waifo, Elizabeth and Greenberg, Mark I., Key issues in structuring a synthetic securitisation transaction; Sidley Austin Brown & Wood 2001
/W.R./		An Introduction to the Hedging Greeks, http://www.finpipe.com/introhedge.htm
EXAMINER	/William Rankins/	DATE CONSIDERED
		08/16/2007

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO.: 36287-03801	SERIAL NO.: TBA
INFORMATION DISCLOSURE STATEMENT		APPLICANT: SPIELER et al.	
(Use several sheets if necessary)		FILING DATE: August 20, 2003	GROUP ART UNIT: TBA

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	6,360,210 B1	03/19/02	Wallman			02/12/99
/W.R./	6,338,047 B1	01/08/02	Wallman			06/24/99
/W.R./	6,282,520 B1	08/28/01	Schirripa			09/09/98
/W.R./	6,148,293	11/14/00	King			10/17/97
/W.R./	6,092,056	07/18/00	Tull, Jr. et al.			05/17/99
/W.R./	5,704,045	12/30/97	King et al.			01/09/95

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
/W.R./		WO 00/75819 A2	12/14/00	Europe			✓	
/W.R./		JP 2002-140514 A	05/17/02	Japan			✓	

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Papers, Etc.)

EXAMINER	DATE CONSIDERED		

